



REQUEST FOR PROPOSAL

14-RFP-043-002

“Seeking a qualified software development firm to provide or develop a comprehensive, web-based Case Management System that consolidates the functions of the two systems currently in use (a web-based system for investigations and a mainframe-based system for supervision and docketing) into a single coherent system, providing an efficient database design and interfaces to other systems to assist agency personnel in the performance of their duties.”

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REQUEST FOR PROPOSAL

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1. Summary and Background

The Alabama Board of Pardons and Paroles (hereinafter referred to as “the Board”) is accepting proposals from qualified professionals/professional organizations for a comprehensive, web-based Case Management System to assist the Board’s officers and employees in the performance of their duties.

The Board wishes to consolidate the functions of two systems currently in use (a web-based system for investigations and a mainframe-based system for supervision and docketing) into a single coherent system. Interfaces will be required to other systems, both mainframe and web-based, and web-sites.

The purpose of this Request for Proposal (“RFP”) is to solicit proposals from various candidates, conduct a fair and extensive evaluation based on criteria listed herein, and select the candidate who best satisfies the needs and requirements of the Board.

2. Proposal Content and Vendor Requirements

One (1) original paper or hard copy of the proposal must be submitted along with five (5) paper or hard copy proposals, including copies of completed/notarized required documents. Vendors must additionally submit an electronic copy of responsive proposals and all attachments on a USB drive. The proposal package must be properly labeled with Vendor’s name, proposal opening date, and RFP name. Failure to submit the required number of copies in this requested format may prevent a vendor’s proposal from being evaluated within the allotted time.

An authorized representative of Vendor must sign the original proposal with any changes made in ink in all required places.

If the organization submitting a proposal intends to outsource or subcontract any work to meet the requirements contained herein, such must be clearly stated in the proposal and details must be provided. Any proposals which call for outsourcing or subcontracting work must include a name and description of the organizations being contracted. All forms and requirements of Vendor per this RFP shall equally pertain to any subcontractor(s).

The proposal must address all requirements of this RFP and provide all information requested. Failure to comply with the requirements of the RFP in the proposal response may result in the disqualification of Vendor’s proposal. Proposals submitted on reduced and/or mutilated forms will be rejected. Proposals submitted by “Express/Overnight” services must be in a separate inner envelope/package, sealed, and identified as stated above.

Vendor’s proposal must include the complete name, address, mailing address, e-mail address and direct telephone number of the person the Board should contact regarding the proposal. Vendor must use and complete the enclosed “Coversheet” (see RFP Appendix C). The requisite screen shots and related items shall be included as proposal Appendix A. Resumes required in response to this RFP shall be provided as proposal Appendix B.

Vendor’s proposal must include an original signature and notarization on the enclosed Vendor Authorization Form to Submit Proposal (see RFP Appendix D) and Vendor Disclosure Statement (see RFP Appendix E), both of which must be returned with the proposal. The “Proposal Box” must be checked on the Vendor Disclosure Statement submitted along with Vendor’s proposal. {Please note: a separate Vendor Disclosure Statement (with the “Contract Box” checked) must be completed by the successful vendor to accompany any executed contract.} Also, if vendor so prefers, an electronic copy of the Vendor Disclosure Statement is available through the Alabama Attorney General’s website, see http://www.ago.state.al.us/ag_items.cfm?Item=70, along with directions for completion. A copy of the successful Vendor’s completed disclosure statement shall be filed with the Board and the Alabama Department of Examiners of Public Accounts and submitted to the Contract Review Permanent

Legislative Oversight Committee. Any disclosure statement filed pursuant to Alabama Code Section 41-16-85 shall be public record.

Vendor will complete an "Immigration Status" form (see RFP Appendix F). Vendor further warrants Vendor does not and will not knowingly employ, hire, or continue to employ an unauthorized alien within the State of Alabama. Vendor must provide documentation establishing enrolment in the e-Verify program, specifically a copy of its e-verify MOU, and shall additionally complete the attached "Certificate of Compliance" (see RFP Appendix G).

A valid tax ID (W-9 is attached as RFP Appendix H) must be submitted with Vendor's proposal or within five (5) days of the Board's request.

If applicable, a Corporate Acknowledgment Statement must also be completed and included with the proposal (see RFP Appendix I).

Note: Responsive vendors must be registered to perform business with the State of Alabama to be awarded a state contract. A copy of the State Vendor Application and information pertinent to doing business with the State of Alabama is available at the following website: <http://purchasing.alabama.gov/pages/vendors.aspx>. Registration is required every three (3) years. Applications should be submitted to the Purchasing Division of the Alabama Department of Finance.

Certifications Based on Proposal Submission

By submitting a proposal, Vendor warrants acceptance and agreement with all terms and conditions presented in this RFP and further certifies that Vendor is legally authorized to conduct business within the State of Alabama and to comply with providing the services described.

Vendor warrants by submitting a proposal that all statements contained in the proposal are true and correct.

By submitting a proposal, Vendor warrants that neither Vendor nor any of Vendor's trustees, officers, directors, employees, agents, servants, volunteers, subcontractors, etc. is a current employee of the Board of Pardons and Paroles and that no such individuals have been employed by the Board within a two (2) year window preceding the issuance of this RFP. During the term of any awarded contract, Vendor shall be responsible for ensuring compliance with this requirement.

Vendor certifies by submission of a proposal that Vendor has not publically or privately colluded with any other vendor.

Vendor certifies by submission of a proposal that it has disclosed and agrees to be held by a continuing obligation to disclose financial and other interests (public or private, direct or indirect) that may pose a potential conflict of interest, or which may conflict in any manner with Vendor's obligations and performance of an awarded contract. Vendor shall not employ any individual with a conflict of interest to perform any service described in this RFP.

Date Proposals Received

Proposals will be received until **4:30 pm CST on Wednesday, March 26, 2014**. Proposals must be received by this date and time to be considered by the Board.

Return Proposals to:

ATTN: Meridith H. Barnes
Alabama Board of Pardons and Paroles, Legal Division
310 S. Ripley Street, Bld. D
P.O. Box 302405
Montgomery, Alabama 36130

**Proposals may be returned via Express/Overnight mail to street address only!*

Proposal Opening

Properly identified proposals will be securely kept and will remain unopened until time of proposal opening on **Thursday, March 27, 2014 at 8:30 am**. The Board does not accept responsibility for the premature openings of a proposal not properly identified or the late arrival of a proposal for whatever reason. Proposal opening will be in the ABPP Board Room at the Board's Montgomery Central Office (same address as above). Proposal opening will be in an Open Public Meeting, making information public to those interested respondents who may be present either in person or by representative. Proposal opening is not to be construed as meaning any vendor meets all specifications as set out in the proposal.

Request to Modify or Withdraw Offer

Vendor may make a written request to modify or withdraw the offer at any time prior to opening. No oral modifications will be allowed. Such requests must be addressed and labeled in the same manner as the original proposal and plainly marked Modification to (or Withdrawal of) Proposal. Only written requests received by the Board prior to the scheduled opening time will be accepted. The Board will supplement original proposals received with accepted written modification requests.

Suspected Errors/Clarification

If a vendor suspects an error, omission, or discrepancy in this solicitation, Vendor must immediately notify the Board's designee in writing, **Meridith H. Barnes, at the above stated address or by e-mail (Meridith.Barnes@alabpp.gov)**. ABPP will issue written instructions if appropriate and make any necessary changes available to all interested parties by posting the same on the Board's website, <http://www.pardons.state.al.us/>. **It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.**

If a vendor considers any part of the RFP unclear, that vendor is expected to make a written request for clarification, prior to the submission of the proposal. The Board will respond in writing or by e-mail to all such requests if a response is deemed appropriate. The Board's response will state the request for clarification followed by a statement of clarification. A copy of the response will be provided to all eligible vendors by posting the same on the Board's website, <http://www.pardons.state.al.us/>. **It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.**

The deadline for submitting such questions is **4:30 pm on Friday, March 14, 2014**. ABPP's response to questions will be provided no later than **48 hours from the submission deadline**.

Amendments

Amendments to this RFP, if issued, will be made available to all interested vendors registered through the Alabama Department of Finance's Purchasing Division as required by posting the same on the Board's website, <http://www.pardons.state.al.us/>. The amendment(s) will incorporate the clarification or change and provide a new date and time for new or amended proposals if applicable. **It is the responsibility of all interested vendors to monitor this webpage for announcements regarding this RFP.**

Proposal Firm Time

The proposal will remain firm and unaltered after opening for one-hundred and twenty (120) days after the proposal due date or until ABPP signs a contract with another vendor, whichever is earlier. ABPP may accept Vendor's proposal at any time during the proposal firm time, subject to successful contract negotiations.

Responsibility to Read and Understand RFP

By responding to this solicitation, Vendor will be held to have read and thoroughly examined the RFP. Failure to read and thoroughly examine the RFP will not excuse any failure to comply with the requirements of the RFP or any resulting contract, nor will such failure be the basis for any claim for additional compensation.

Contract Negotiations

The selected vendor may be required to enter into contract negotiations at the discretion of ABPP. If an agreement cannot be reached to the satisfaction of ABPP, the Board may reject the vendor's proposal or revoke the selection and begin negotiations with another qualified vendor. Any proposed changes, as well as the final contract, must be approved and signed by the appropriately authorized State of Alabama and ABPP official(s).

If Vendor begins any billable work prior to final approval and execution of a contract, vendor does so at its own risk. Vendor's contract, itself, will not be effective until it has received all requisite state government approvals, which includes the signature of the Governor of the State of Alabama, and vendor is entitled to no compensation for work or services performed prior to the effective date of the contract.

The Board anticipates submitting any executed contract to the Legislative Oversight Review Committee for approval by the deadline for May's Contract Review Meeting (on **May 8, 2014, 1:00 pm**). As such, any awarded contract must be executed by ABPP and the successful vendor, and all requisite forms submitted, **before 4:30 pm on Friday, April 25, 2014** for timely submission.

Standard Contract Terms

A standard agency contract will be required. The Board intends to incorporate this RFP and the successful Vendor's proposal into the contract; however, the Board hereby reserves the right to incorporate greater detail and add terms and conditions during contract negotiations, within the scope of this RFP.

Proposed Contract/Contract Term/Effective Date

Upon acceptance of Vendor's proposal by the Board, the parties will execute a formal contract, in writing, duly signed by the proper parties thereto, which shall be subject to review by the Legislative Contract Review Oversight Committee of the State of Alabama and the approval and signature of the Governor of the State of Alabama. Vendor will assume responsibility for providing services under the executed contract on the effective date of the contract, which will be the date of approval and signature of the Governor of Alabama or his designee. The executed contract will not be effective until it has received all requisite state government approvals. Vendor shall not begin performing services under the contract until notified by the Board. Vendor will not be entitled to compensation for work or services performed prior to the effective date of the contract.

This RFP does not, by itself, obligate the Board; such obligation shall commence only upon the execution of any approved contract.

The anticipated contract term for this RFP is a two (2) year period.

The Board reserves the right, however, to include up to three (3), one year renewal options, at its discretion, in any initially awarded contract. When provided for in any executed contract, ABPP has the sole option to exercise renewal options. Unless otherwise provided by any executed contract, the holding over of the contract, excluding any exercised renewal options, will be considered a month-to-month extension and all other terms and conditions shall remain in full force and effect. To be effective, any renewals must also be submitted and approved by the Alabama Legislative Contract Review Oversight Committee and require the approval and signature of the Governor of the State of Alabama to be effective.

Point of Contact

ABPP will consider the person who signs Vendor's proposal to be the contact person for all matters pertaining to the proposal unless vendor expressly designates another person in writing. By signing the proposal, Vendor agrees to be bound by all terms and conditions of the RFP. Any exceptions to the specified terms and conditions must be clearly set forth within Vendor's proposal. Vendor may be deemed non-responsive if its proposal contains exceptions to the terms and specifications of the RFP.

Reservations

ABPP hereby reserves the right to cancel this RFP, reject any or all proposals, to reject individual proposals for failure to meet any requirement; to award by item, part or portion of an item, group of items, or total; and to waive minor defects and/or seek additional proposals and also reserves the right to award one or more professional service contracts that ABPP determines to be in the best interest of the state and ABPP. All services may be awarded to one (1) professional service provider or ABPP may award different services described in the RFP to different providers.

ABPP reserves the right to award the contract to a vendor other than the lowest-priced vendor, if a higher-priced proposal provides the best value as determined by ABPP.

Submission of a proposal confers on Vendor no right to a selection or to a subsequent contract.

This process is only for the benefit of ABPP and is to provide ABPP with competitive information to assist in the selection process. All decisions on compliance, evaluation, terms, and conditions will be made solely at the discretion of ABPP.

Payment of Costs

ABPP is not responsible for and will not pay or reimburse any associated cost incurred by Vendor in the preparation and submission of Vendor's proposal or in any processes associated with Vendor's participation, regardless of whether Vendor is selected.

3. Project Purpose and Description

Project Purpose:

The Board's current web-based investigation system was implemented around 2003. The mainframe system, created and maintained by the Administrative Office of Courts (AOC), has been in use in some form for almost twenty (20) years. The agency faces latency issues with data being received in nightly feeds from the mainframe system.

The objectives of this project are to:

1. Provide agency personnel with a single dashboard that allows them to perform all of their work in a single system. The system must:
 - Include a workflow engine to define, assign, and track assigned tasks/steps (e.g., creation and approval of investigations and reports).
 - Include administrative access to the database for addition/modification/deletion of table values.
 - Provide role-based access and authentication based on user attributes.
2. Replace the existing web-based system for the performance of investigations and submission of reports.
3. Replace the existing supervision modules in the mainframe system accessed through Passport. Passport is the web portal that allows external applications access to AOC mainframe data.
4. Replace the existing docketing modules in the mainframe system accessed through Passport.
5. Replace the individual Access databases in use throughout the Agency by a single database, accessible through the Case Management system.
6. Provide an easy method to obtain preset and *ad hoc* reports and forms.
7. Provide real-time interfaces to and from other state government (e.g. the Administrative Office of Courts, Alabama Department of Corrections, and Alabama Criminal Justice Information Center) systems thereby eliminating duplicate entry of data into multiple systems. Although the goal is to provide real-time updates to and from other systems, the Board understands and accepts that some information may need to be delivered over-night through a batch interface process.
8. Provide access to and from the Alabama Secure Sharing Utility for Recidivism Elimination (ASSURE) portal, currently under development by the University of Alabama Center for Advanced Public Safety per a separate interagency project to facilitate sharing information regarding substance abuse/behavioural health clients, probationers and inmates.
9. Provide access to and from the Pardon and Parole application being developed by the Alabama Criminal Justice Information Center (ACJIC) as part of the state's Automated Victim Notification System.
10. Eliminate the latency and redundancy problems that currently exist. This item includes any data conversion that is required.

Project Description:

The Case Management System project will consist of three (3) project components or occur in three (3) phases. As a result, the Board anticipates that the (3) three components/phases will overlap (e.g., planning for two (2) may begin during integration/testing of (1)).

COMPONENT/PHASE 1

Component/Phase 1 consists of the following:

- Objective 1 (for administrative personnel and for officers performing investigations)
 - Dashboard will be tailored by role
- Objective 2 (for officers performing investigations and reporting)
 - Investigation types include (but are not limited to):
 - Legal Facts Only
 - Post-sentencing
 - Pre-probationary
 - Preliminary
 - Presentencing
 - Youthful Offender
 - Pardon
 - Voting Rights
- Objective 5 (single database)
- Objective 6 (pre-defined and *ad hoc* report capability)
 - Report types include (but are not limited to):
 - Investigation reports
 - Delinquency/Violation/Parole Court Hearing reports
 - Needs/Treatment reports
 - Management reports
 - Statistical reports
 - Miscellaneous reports and Forms (e.g., Vehicle Maintenance report and Travel Request form)
- Objective 7 (interface to other systems)
 - Interfaces include (but are not limited to):
 - Administrative Office of Courts system(s)
 - Alabama Department of Correction system(s)
 - Alabama Criminal Justice Information Center system(s)
 - Interstate Compact Offender Tracking System
- Objective 8 (ASSURE portal interface)
- Objective 9 (Victim Notification System)
- Objective 10 (latency/redundancy issues)

COMPONENT/PHASE 2

Component/Phase 2 consists of the following:

- Objective 1 (for personnel performing supervision and/or receiving fees and accounting personnel)
- Objective 3 (retire supervision module on mainframe)
- Objective 5 (single database)
- Objective 6 (pre-defined and *ad hoc* report capability)
 - Report types include (but are not limited to):
 - Supervision reports
 - Accounting reports

- Management reports
 - Statistical reports
- Objective 7 (interface to other systems)
 - Interfaces include (but are not limited to):
 - Administrative Office of Courts system(s)
 - Alabama Department of Correction system(s)
 - Alabama Criminal Justice Information Center system(s)
- Objective 10 (latency/redundancy issues)

COMPONENT/PHASE 3

Component/Phase 3 consists of the following:

- Objective 1 (for all remaining agency personnel including docketing, personnel, etc.)
- Objective 4 (retire docketing module on mainframe)
- Objective 5 (single database)
- Objective 6 (pre-defined and *ad hoc* report capability)
 - Report types include (but are not limited to):
 - Docketing reports
 - Management reports
 - Statistical reports
- Objective 7 (interface to other systems)
 - Interfaces include (but are not limited to):
 - Administrative Office of Courts system(s)
 - Alabama Department of Correction system(s)
 - Alabama Criminal Justice Information Center system(s)
- Objective 10(latency/redundancy issues)

Overall

From a development standpoint, a standard software development life cycle (SDLC) is required. Periodic reviews and approval will be required before transitioning from one SDLC step to the next.

The Board is seeking a Vendor to utilize the latest web-based technology to provide or create a system that is user-friendly, simple to use, and to which it is easy to add or modify content. The final system product must allow the Board's IT group to manage layout and content to adapt to changes in the environment, legal requirements, and agency procedures. The dashboard design and layout should be aesthetically pleasing and simple for users to navigate and make minor changes to tailor system use to individual needs.

The system shall meet and should exceed established best practices for the industry from a security standpoint, as the Board is statutorily charged with maintaining the confidentiality of privileged probation and parole records.

The system shall efficiently track and record historical changes in data (data shall not be overwritten without such tracking capability). The system must identify which assigned user changed what piece of data and when (by date and time).

The system must apply nationally accepted, best practice requirements of the law enforcement community, specifically the probation and parole community, to provide for outcome measurement of caseload management practices to allow the agency to make "evidenced-based" policy decisions.

4. Project Scope

The scope of this project includes provision or development of case management software that meets the objectives outlined in Project Purpose/Requirements. The scope additionally includes software modification/development by Vendor as required to implement and/or integrate software with ABPP's existing data and other state entities' existing data systems and structures, upon which the Board's function is dependent.

Proper licensing shall be provided to ABPP for any proprietary software to be used or produced by Vendor.

Vendor shall provide a detailed description in a submitted proposal, addressing Vendor's approach to design, coding, testing, implementation, documentation, and licensing of the Board's new case management system (including the database) to meet the objectives outlined in the Project Purpose/Requirements.

Vendor shall additionally and **specifically address a proposed approach to ownership of all software and documentation (including, but not limited to, design documents, specifications, test plans, test scripts, source code, and object code)**. Preference may be given by ABPP to Vendor proposals assigning ownership of all software and documentation to the Board or that otherwise provide for modification of the same (and proper licensing to allow for modification) by the Board's IT personnel after project completion.

The following criteria must be met to achieve a successful project:

- Visually and aesthetically pleasing dashboard design
- User-friendly environment that is easy to navigate
- Consistency of design across all portions of the system
- System can be modified easily by the Board's IT personnel with minimal effort
- All software and licensing requirements should be included as part of this project
- System should be compatible with current web browsing technology (e.g., Internet Explorer, Chrome, and Firefox) and easily upgradeable to future browser versions
- System shall meet and should exceed established best practices for the industry from a security standpoint, as the Board is statutorily charged with maintaining the confidentiality of privileged probation and parole records
- System shall efficiently track and record historical changes in all modifiable data (data shall not be overwritten without such tracking capability). The system must identify which assigned user changed what piece of data and when (by date and time).
- System must apply nationally accepted, best practice requirements of the law enforcement community, specifically the probation and parole community, to provide for outcome measurement of caseload management practices to allow the agency to make "evidenced-based" policy decisions.
- Ability to work closely with the Board's Project Manager on coordination of project tasks and resources
- Plan and perform a complete testing process on system and database in order to ensure functionality and accuracy

5. Project Requirements

The following is a list of minimum, "high-level" requirements for this project that Vendors must address in proposal submissions. The Board expressly reserves the right to modify these requirements by increasing level of detail during the course of project completion; any and all such modifications will be within the scope of this RFP.

COMPONENT/PHASE 1

100. Administration

101. The system shall provide the ability to add/change/delete employees.
102. The system shall provide the ability to add/change/delete employee authorizations.
103. The system shall provide the ability to add/change/delete reference table values.
104. The system shall provide the ability to add/change/delete workflows.
105. The system shall provide the ability to add/change/delete tasks.
106. The system shall provide the ability to add/change/delete task steps.
107. The system shall provide the ability to assign/reassign/complete steps, tasks, and workflows.
108. The system shall provide the ability to add/change/delete addressees.
109. The system shall provide the ability to add/change/delete institutions.
110. The system shall provide role-based access and authentication.
111. The dashboard shall be tailored to the user's role and authorizations.
112. The dashboard shall provide a single point of entry for all data.
Note: Data required by other systems must be passed through interfaces.
113. The dashboard shall provide multiple views of the user's work list.
114. The system shall provide the capability to capture/store electronic signatures.
115. The system shall provide the ability for tasks on a user's worklist to be synched with the agency's email system for reminders.

200. Case Management

201. The system shall provide the ability to receive case information from the Administrative Office of Courts through an automated interface.
202. The system shall provide the ability to add/change/delete case information.
203. The system shall provide the ability to add/change/delete charge information.
204. The system shall provide the ability to add/change/delete offense information.
205. The system shall provide the ability to add/change/delete offender information.
206. The system shall provide the ability to add/change/delete co-defendant information.
207. The system shall provide the ability to add/change/delete sentence information.
208. The system shall provide the ability to add/change/delete delinquency/violation information.
209. The system shall provide the ability to assign/reassign cases to employees (officer roles).
210. The system shall provide the ability for users to update case/workflows/tasks/steps that appear on their work list (dashboard).

300. Investigations

301. The system shall provide the ability to add/change/delete personal information, including:
 - a. Demographics
 - b. Military service
 - c. Education
 - d. Housing
 - e. Employment
 - f. Family
 - g. Marriage
 - h. Health
 - i. Medications
 - j. Alcohol and/or illegal drugs
 - k. Treatments
 - l. Arrests
 - m. Convictions
 - n. Assets
 - o. Creditors

700. Reports

701. The system shall provide the ability to create/modify/submit/approve reports, including:

- a. Management reports (static and *ad hoc*)
 - b. Statistical (static and *ad hoc*)
 - c. Investigation reports (multiple types)
 - d. Delinquency reports (parole and probation violations)
 - e. Risk assessment/reassessment reports
 - f. Needs assessment/reassessment
702. The system shall provide the ability to create/modify/submit miscellaneous reports/forms, e.g., Vehicle Maintenance report and Travel Permit Request form.
703. The system shall provide the ability to view reports online.
704. The system shall provide the ability to print reports in multiple formats, e.g., MS Word, pdf, txt, etc.
705. The system shall provide the ability to export report data to other applications, e.g., MS Excel.
706. The system shall provide the ability to tailor reports by selection criteria, e.g., office, district, etc.

800. *Interfaces*

801. The system shall provide real-time interfaces to others systems, including:
- a. Administrative Office of Courts systems
 - b. Department of Corrections Systems
 - c. Interstate Compact Offender Tracking System
 - d. Victim Notification System and other ACJIC systems
802. The system shall provide access to and from the Alabama Secure Sharing Utility for Recidivism Elimination (ASSURE) portal. This portal is under development.
Note: Information provided to the ASSURE portal is subject to certain legal restrictions based on individual offenders/cases, court orders, and the laws of the state of Alabama.
803. Interfaces shall conform to the National Information Exchange Model (NIEM) standards, including the use of Information Ex-change Package Documentation (IEPD) and plans for conformance testing. NIEM conformance is defined as follows:
- a. XML schemas shall conform to the NIEM Naming and Design Rules (NDR).
 - b. XML instances shall correctly validate to NIEM-conforming XML schemas, with additional conformance rules specified by the NIEM NDR.
 - c. NIEM IEPDs shall conform to the NIEM IEPD specification or the newer Model Package Description (MPD).

900. *Interoperability/Architecture*

901. The system shall ensure seamless coordination and integration across programs and systems.
902. The system shall provide a Web Service Oriented Architecture as defined by the following:
- a. <http://www.w3.org/>
 - b. www.oasis-open.org
903. The system shall provide a single integrated database for collection of all data required by system users.
904. The system shall be able to work in an off-line mode when connectivity to the server/database is unavailable.
905. The system shall automatically update the server/database when connectivity is restored.
906. The existing EPSI system shall be retired.

COMPONENT/PHASE 2

100. *Administration*

102. Additional user authorizations shall be added.
103. Additional roles shall be added.
104. Additional workflows shall be added.
105. Additional steps shall be added.

- 106. Additional tasks shall be added.
- 113. Additional views shall be added.

400. Supervision

- 401. The system shall provide the ability to assign/reassign offenders to officers for supervision.
- 402. The system shall provide the ability to terminate an offender's supervision based on completion of sentence, court order, etc.
- 403. Through the workflow engine, the system shall provide the ability to track officer contact with an offender.
- 404. Through the workflow engine, the system shall provide the ability for an officer to record notes/personal observations, etc. for each task.
- 405. Through the workflow engine, the system shall provide the ability for an officer to enter notes/personal observations, etc. for contact with any offender not assigned to them.
- 406. The system shall notify an offender's supervising officer, whenever contact with another officer is recorded through the workflow engine.

500. Fees/Accounting

- 501. The system shall provide the ability to record the accrual of fees due from persons under supervision on the first of each month.
- 502. The system shall provide the ability to record/modify/delete the receipt of fees collected from persons under supervision.
- 503. The system shall provide the ability to assign collected fees to a specific month owed.
- 504. The system shall provide the ability to group fee receipts into batches for deposit and reporting by payment type or other criteria to be determined (electronic payments batched separately from cash/money orders).
- 505. The system shall provide the ability to track arrearages, credits, exemptions, and collections by:
 - a) Officer
 - b) Office
 - c) District
 - d) State
- 506. The system shall provide the ability to track collections by payment type, e.g. credit card, money order, cash, etc.

700. Reports

- 701. The system shall provide the ability to create/modify/submit/approve reports, including:
 - a. Management reports (static and *ad hoc*)
 - b. Statistical (static and *ad hoc*)
 - g. Supervision (multiple types)
 - h. Fee/accounting reports (multiple types)

800. Interfaces

- 801. The system shall provide real-time interfaces to others systems, including:
 - a. Administrative Office of Courts systems
 - b. Department of Corrections Systems
 - c. Interstate Compact Offender Tracking System
 - e. Payment (including, but not limited to credit card) processing systems

900. Interoperability/Architecture

- 903. The system shall provide a single integrated database for collection of all data required by system users.
- 907. The existing Supervision module on the AOC mainframe system shall be retired.

COMPONENT/PHASE 3

100. Administration

- 102. Additional user authorizations shall be added.
- 103. Additional roles shall be added.
- 104. Additional workflows shall be added.
- 105. Additional steps shall be added.
- 106. Additional tasks shall be added.
- 113. Additional views shall be added.

600. Docketing

- 601. The system shall provide the ability to record requests for pardons.
- 602. The system shall automatically identify offenders who are eligible for parole.
- 603. The system shall provide the ability to create/modify pardon, parole, and remission hearing dockets.
- 604. The system shall provide the ability to record the results of pardon, parole, and remission hearings.

700. Reports

- 701. The system shall provide the ability to create/modify/submit/approve reports, including:
 - a. Management reports (static and *ad hoc*)
 - b. Statistical reports (static and *ad hoc*)
 - i. Docket reports (multiple types)
 - j. IPO reports
- 702. The system shall provide the ability to create/modify/submit miscellaneous reports/forms, e.g., Board sign-off sheet.

800. Interfaces

- 804. Updates may be required to interface to others systems, including:
 - a. Administrative Office of Courts systems
 - b. Department of Corrections Systems
 - c. Interstate Compact Offender Tracking System
 - d. Victim Notification System

900. Interoperability/Architecture

- 903. The system shall provide a single integrated database for collection of all data required by system users.
- 908. The existing Docketing module on the AOC mainframe system shall be retired.

6. Project Timeline

The proposed project timeline below is based on approval by the LCRC on May 8, 2014 and a mid-May contract approval from the Governor's office; the Board, however, reserves the right to modify this timeline based on any delays in the negotiation, review, approval, and execution process for any awarded contract:

Project initiation completed by **May 30, 2014**.

Project planning for Component/Phase 1 completed by **June 6, 2014**.

Project implementation for Component/Phase 1 complete to the point of allowing for integration with ASSURE Portal development by **February 28, 2015**.

The Board anticipates the approximate start and end dates for Components/Phases 2 and 3 to be January 2, 2015 through September 25, 2015 and August 3, 2015 through May 6, 2016, respectively.

Contract negotiations will determine specific dates/deadlines/timelines/schedules and such will be memorialized in any executed contract.

7. Budget

Vendor shall submit a firm and fixed "total" price to cover performance of all services described in the RFP. All costs included in the total proposal cost must additionally be broken down and itemized with an explanation. All costs included in proposals must be all-inclusive of any outsourced or subcontracted work.

Vendor shall propose a price that reflects any business risk it perceives in the way the proposal specifications are stated.

Bidder shall not anticipate nor rely on clarifications, discussions, redefinition, or further negotiations with the Board after the contract award to adjust the price contained in its proposal for the work required by the RFP. Any efforts by a bidder to limit, qualify, caveat, restrict, or place conditions upon the price being proposed shall be considered a violation of the firm and fixed price submission requirement and shall result in the proposal being rejected as non-responsive.

8. Vendor Qualifications

Vendor MUST provide the following items as part of their proposal for consideration:

- Description of experience in planning, building, and implementing systems of similar size/complexity.
- Examples of systems of similar size provided/created and implemented by your organization, including display of dashboard design, user-friendly navigation capability, and consistency of design.
- Evidence of compatibility with current web browsing technology (e.g., Internet Explorer, Chrome, and Firefox) and easy upgradeability to future browser versions.
- Description of system manageability and modification ability of ABPP IT personnel after project completion.
- Description of Vendor's approach to design, coding, testing, implementation, documentation, and licensing of the Board's new case management system (including the database), as well as Vendor's proposed approach to ownership of all software and documentation (including, but not limited to, design documents, specifications, test plans, test scripts, source code, and object code) after project completion.
- Evidence of knowledge and experience providing services to entities within the criminal justice system; preference may be given to vendors with extensive backgrounds serving Alabama criminal justice entities, including the Administrative Office of Courts (AOC), the Alabama Department of Corrections (ADOC), the Alabama Criminal Justice Information Center (ACJIC), and other state entities' with data systems used or relied upon by the Board to perform daily functions.
- Evidence of ability to work with other contractors and to work closely with the Board's Project Manager on coordination of project tasks and resources.
- Testimonials and/or professional references from past clients. A minimum of 2 references is required, including updated contact information for each reference provided.

- Anticipated resources that will be assigned to this project (total number of personnel by role, title, experience, etc.)
- Number of full time, part time, and contract staff currently employed.
- A full testing plan to ensure functionality and accuracy.
- Detailed timeframe for completion of the project.
- Description of project management methodology.
- Description of proposed Software Development Life Cycle methodology.
- System should be compatible with current web browsing technology (e.g., Internet Explorer, Chrome, and Firefox) and easily upgradeable to future browser versions
- Description of proposal to meet/exceed established best practices for the industry from a security standpoint, as the Board is statutorily charged with maintaining the confidentiality of privileged probation and parole records.
- Description of approach to efficiently track and record historical changes in all modifiable data (data shall not be overwritten without such tracking capability). The system must identify which assigned user changed what piece of data and when (by date and time).
- Description of approach to address nationally accepted best practice requirements of the law enforcement community, specifically the probation and parole community, to provide for outcome measurement of caseload management practices to allow the agency to make “evidenced-based” decisions.

9. Proposal Evaluation and Method of Selection

The Board will designate a Proposal Evaluation Committee to be made up of at least four (4) (but potentially more) members of ABPP senior staff and field officer personnel. The Board reserves the right to include designees from other state agencies with relative experience or that hold a stake in the success of this project to participate in proposal evaluations.

Vendor selection will be based on the proposal that meets or exceeds the requirements set forth in this RFP. Proposals will be evaluated based on the quality and completeness of the information provided. Vendors must provide comprehensive statements that illustrate their understanding of the proposed contractual requirements. ABPP may seek clarification of a proposal from any vendor at any time; Vendor’s failure to timely respond is cause for rejection. Clarification is not an opportunity to modify a proposal.

ABPP may request an oral presentation or conduct interviews to support Vendor’s written proposal.

Any vendor whose proposal does not meet the mandatory requirements and does not provide a primary proposal that meets all the required specifications of the RFP will be considered non-compliant.

Proposal evaluations will be scored and based on the response to the requirements of this RFP and held as the primary proposal. Alternative proposals will not be considered as the basis for the evaluation of the successful vendor.

All proposals received will become the property of ABPP. ABPP further reserves the right to use for its benefit the ideas contained in proposals received.

After the evaluation of proposals received and selection of the successful vendor, the selection and the award will be posted on the agency’s website. Upon ABPP selecting a vendor’s proposal for contract negotiations, ABPP will additionally send Vendor written notice. Notice letters sent or posted during proposal firm time, or during any extension thereof, will extend the proposal firm time until such time as ABPP signs a contract or determines negotiations with Vendor have failed. Receipt or posting of a notice of award is not the equivalent of a contract with ABPP.

ABPP anticipates making a vendor selection **within seven (7) days from the date scheduled for proposal opening**, but reserves the right for an extension of time as required.

Mandatory criteria will be evaluated and a descriptive scoring process will be employed, as well as price evaluation. **See Appendix A.** for additional information on the evaluation process, criteria, and scoring.

10. Proposal Requirements

This section presents the order and content expected in the bidder response documents. All significant departures from these format and content requirements will be considered non-responsive. The cost proposal must be in a separate document and there should be no mention whatsoever of costs in the main proposal document.

The following is the order and content specifications of the bidder response, by section:

1. Cover Sheet (See RFP Appendix C)
2. Executive Summary – general approach that will be applied and an overview of the proposal document (maximum 1 page, single spaced)
3. Organizational Experience (maximum 5 pages, double spaced)
4. Previous work (maximum 5 pages, double spaced); 2 references required minimally, including up to date contact information for all references provided
5. Technical expertise and experience (maximum 5 pages, double spaced)
6. Proposed solution, including a high level design with example screen shots and explanations of generally how the proposed system will function (maximum 25 pages, double spaced)
7. Cost proposal must be provided in a separate document; a total firm and fixed cost must be provided; such total cost must be itemized with a narrative explanation of each itemization, including contribution and necessity to the development of the proposed system.
8. Appendix A – Sample screen shots and/or technical diagrams (no page limit – does not replace section 5, which must be able to stand alone)
9. Appendix B – Brief resumes of key project personnel (maximum 2 pages each, single spaced)
10. Appendix C – Vendor Authorization to Submit Proposal (See RFP Appendix D)
11. Appendix D – Vendor Disclosure Statement (See RFP Appendix E)
12. Appendix E – Immigration Status (See RFP Appendix F)
13. Appendix F – Certificate of Compliance and E-verify MOU (See RFP Appendix G)
14. Appendix G – W-9 (See RFP Appendix H)
15. Appendix H – Corporate Acknowledgement Statement and Certificate of Authority (See RFP Appendix I)

Appendix A. Proposal Evaluation Process

Overview

The evaluation process described herein is intended to be used as a guide for purposes of evaluation and award of a contract to the vendor deemed most valuable to the State. However, ABPP expressly reserves the right not to award a contract at all and further reserves the right no to award a contract to the highest point vendor.

The Board's process will assess the following areas:

Compliance with Mandatory Criteria (Yes/No)

Vendor Profile (20%)

- Organizational Experience: Bidders will be evaluated on their experience as it pertains to the scope of this project.
- Previous work: Bidders will be evaluated on examples of their work pertaining to web site design and hosting as well as client testimonials and references. A minimum of 2 references required.
- Technical expertise and experience: Bidders must provide descriptions and documentation of staff technical expertise and experience.

Vendor Solutions: Scope of Work and General RFP Requirements (40%)

- Overall proposal suitability: proposed solution(s) must meet the scope and needs included herein and be presented in a clear and organized manner.

Price (40%)

- Value and cost: Bidders will be evaluated on the cost of their solution(s) based on the work to be performed in accordance with the scope of this project.

Step 1. Evaluation Committee

After opening all timely received sealed proposals, evaluations will be performed of each proposal by a committee designated by the Board, using score sheets. The Project Director must be assigned as a committee member. Otherwise, the Evaluation Team will include ABPP agency staff with background and working knowledge consistent with the requirements of this RFP. The Board reserves the right to include designees with appropriate working knowledge/background from stakeholder/interested agencies as deemed beneficial to the Board.

Step 2. Mandatory Criteria

The RFP Coordinator will first guide the committee in scoring mandatory criteria on a pass or fail basis. The RFP Coordinator will assist in the resolution of issues related to the scoring and evaluation of the proposals.

Step 3. Descriptive Scoring

The RFP Coordinator will then guide the committee in using a descriptive scoring scale for each component of the proposal for the remainder of the committee evaluation process for those vendors “passing” the mandatory requirements. Committee members will record justification for scores given under the comments section for each question. {It will be helpful to note section, subsection and page number references from the proposal being reviewed for later reference.}

The evaluation of proposal components will involve point-scoring of each response in two areas according to pre-established criteria for a maximum of 100 weighted points. The areas to be reviewed and the maximum points available are as follows:

| | |
|------------------------------------|-------------------|
| Vendor Profile | TOTAL = 20 |
| Organizational Experience | 10 |
| Previous Work | 5 |
| Technical Expertise and Experience | 5 |

Vendor Solutions: Scope of Work and General RFP Requirements TOTAL = 40

Price TOTAL = 40

Detailed evaluation criteria will be utilized for each of these areas to assess the completeness, quality, and desirability of vendor responses in the above areas and component parts.

Step 4. Scoring of Criteria

Scoring of individual response criteria will be on a scale of 0 to 5 as follows:

- **0 - Not Addressed in the proposal or Vendor has no capability in this area**
- **1 - Not Responsive: Addressed in the proposal but is not responsive to the requirement**
- **2 - Weak: Responsive to the requirements but having less than adequate capabilities or missing one or more minor requirements**
- **3 - Adequate : Vendor shows adequate understanding and meets the minimum requirements**
- **4 - Above Average: Vendor has above average capabilities in this area and meets the minimum requirements**
- **5 - Excellent: Vendor has exceptional capability in this area, including desirable features or experience/education**

Step 5. Price Evaluation

The Agency Project Director, with support from the Agency’s Chief Fiscal Officer and RFP Coordinator, will evaluate the price provided on the RFP cover sheet (also for all vendors passing mandatory requirements).

Each proposal will be examined to determine whether the final fixed price is provided as indicated in the RFP. Any response that is incomplete or in which there are significant inconsistencies or inaccuracies on

pricing schedules may be rejected. No deviations, qualifications, or counteroffers to RFP requirements for pricing and requested formats for the pricing schedules will be accepted. The state reserves the right to reject all proposals.

The total price will be used to rank the vendor prices from lowest to highest. 40 points of the 100 weighted points will be awarded for the lowest acceptable total price bid.

Points for other bids will be awarded using the following formula:

$$Y_n = (X \text{ divided by } N) \text{ times } 40$$

where:

$$X = \text{Lowest total price bid on Schedule A}$$

$$N = \text{Total price bid by bidder } n$$

$$Y_n = \text{Pricing score for bidder } n$$

$$\text{EXAMPLE: } Y = 4000/5000 \times 40$$

$$Y = 32$$

After the price responses have been evaluated, the final scoring and ranking will be determined.

Step 6. Ranking and Selection of Proposals

The final score of the component evaluation will be determined by summing the raw component scores for each item given by each evaluator on the scoring sheets in Attachment D. The highest raw score is then given the maximum number of points for that component. Other vendor's scores will be normalized by prorating the point total based on the ratio of their weighted score to the highest scoring vendor's weighted score. The following formula will be used:

$$Y_n = (N \text{ divided by } X) \text{ times } Z$$

where:

$$N = \text{The number of weighted component points awarded to bidder}$$

$$X = \text{The highest number of weighted component points awarded to any bidder}$$

$$Z = \text{Component total points}$$

$$Y_n = \text{Component Response score for bidder } n$$

The final point scores from each responsive Component and Price Response shall be tallied and combined in the final ranking of all bidders. The resulting ranking will be submitted to the Board for final decision.

Step 7. Reference Checks

Corporate and personnel reference checks may be performed as a separate part of the evaluation process. Reference checks may not be limited to specific customer references cited in the response.

Step 8. Preparation of the Final Selection Report and Selection

A final report will be prepared by the Project Director, documenting the scoring of the vendors' proposals. The Project Director will be responsible for resolving any issues related to the scoring process. This report will be presented to the Board, along with the ranking of all passing vendors.

The Board will make the final decision regarding award of the contract.

The successful vendor will be notified of the award in writing and the same will be posted on the agency's website, as well as the Comptroller's RFP website.

A contract will be negotiated, approved, and executed by both parties. The contract must be approved by the Legislative Contract Review Committee and approved/signed by the Governor before it will become fully executed. The Board reserves the right to not award a contract

Step 9. Completed Scoring Sheets

Completed scoring sheets and all proposals received/reviewed will be submitted to the RFP Coordinator designated for this project to be maintained in accordance with the agency's record disposition policies.

Appendix B. Proposal Response Checklist

This checklist is to assist with ensuring all required elements are included in submitted proposals:

- Cover Sheet
- Executive Summary – general approach that will be applied and an overview of the proposal document (maximum 1 page, single spaced)
- Organizational Experience (maximum 5 pages, double spaced)
 - Include descriptions of experience in planning, building, and implementing systems of similar size/complexity
 - Provide examples of systems of similar size built and implemented by your organization
- Previous work (maximum 5 pages, double spaced)
 - Describe any projects involving criminal justice entities, specify any experience with Alabama partner agencies' systems such as the Administrative Office of Courts (AOC), the Alabama Department of Corrections, Alabama Criminal Justice Information Center (ACJIC) or similar systems/entities
 - Provide examples of projects that demonstrate bidder's ability to work with other contractors
 - Provide testimonials from past clients and/or professional references
- Technical expertise and experience (maximum 5 pages, double spaced)
 - Provide examples of relevant skills, expertise and certifications of proposed project personnel
 - Provide examples of experience in website design and hosting
 - Provide information about any experience working with the National Information Exchange Model (NIEM) standards
- Proposed solution including a high level design with example screen shots and explanations of generally how the proposed system will function (maximum 25 pages, double spaced)
 - Explain how the proposed solution will function to meet the requirements stated in the RFP
 - Provide count of full-time, part-time and contractor staff in the bidder's organization
 - Describe anticipated resources you will assign to this project (total number, role, title, experience)
 - Include timeframe for project completion
 - Describe project management methodology
 - Describe proposed Software Development Life Cycle Methodology
 - Describe testing plan
 - Describe approach to address nationally accepted best practice requirements of the law enforcement, specifically the probation and parole, community to provide for outcome measurement of caseload management practices to allow the agency to make "evidenced-based" decisions.
- Cost proposal
 - Must be in a separate document; a total firm and fixed cost must be provided; such total cost must be itemized with a narrative explanation of each itemization, including contribution and necessity to the development of the proposed system.

- Appendix A – Sample screen shots and/or technical diagrams
 - No page limit; however, this does not replace section 5 which must be able to stand alone.
- Appendix B – Brief resumes of key project personnel (maximum 2 pages each, single spaced)
- Appendix C – Vendor Authorization to Submit Proposal
- Appendix D – Vendor Disclosure Statement
- Appendix E – Immigration Status
- Appendix F – Certificate of Compliance and E-verify MOU
- Appendix G – W-9
- Appendix H – Corporate Acknowledgement Statement and Certificate of Authority
- Include one original and five (5) paper copies of proposal
- Include an electronic copy of proposal on a USB flash drive with descriptive file names (e.g. ExecutiveSummary.pdf, ProposedSolution.pdf, CostProposal.xls, AppendixA.pdf, etc.)

Appendix C. Request for Proposal Cover Sheet

The cover sheet on the next page must be filled out and included with the proposal.



**Alabama Board of Pardons and Paroles
Request for Proposal Cover Sheet
14-RFP-043-002**

| | |
|--|---|
| Due Date and Time: March 26, 2014 by 4:30 PM CST | Issue Date: February 24, 2014 |
| RFP Coordinator: Meridith Barnes | Mark Face of Envelope/Package: RFP Number - 14-RFP-043-002 |
| Phone: (334) 353-3730 Email: meridith.barnes@alabpp.gov Website: www.pardons.state.al.us | Issuing Division: Information Technology Project Director: Robert Moore |
| Return Proposal to: Alabama Board of Pardons and Paroles 302 South Ripley Street P.O. Box 302405 Montgomery, AL 36130 | Total Evaluated Price (from Budget Detail Worksheet): |
| Vendor Information (Vendor must complete the following and return with RFP response) | |
| Vendor Name and Address: | Authorized Vendor Signatory: <i>(Please print name and sign in ink.)</i> |
| Vendor Phone Number: | Vendor Fax Number: |
| Vendor Federal ID Number: | Vendor E-mail Address: |

Appendix D. Vendor Authorization to Submit Proposal

**VENDOR AUTHORIZATION TO
SUBMIT PROPOSAL**

_____ agrees to furnish the services described in this proposal in response to the ABPP "Case Management System RFP" (14-RFP-043-002), dated _____ and guarantees that this proposal meets or exceeds all specifications, terms, conditions, and requirements listed therein.

I hereby affirm I have not been in any agreement or collusion among or in restraint of freedom of competition by agreement to respond at a fixed price or to refrain from responding or otherwise.

_____ Authorized Signature (ink)

_____ Authorized Name (typed)

_____ Title of Authorized Person

Name/Company Name _____

(Business) Mailing Address _____

City, State, Zip _____

Prospective Respondent's Telephone Number _____.

Date _____

Sworn to and subscribed before me and given under my hand and official seal this the

_____ day of _____, 20 ____.

NOTARY PUBLIC

My Commission Expires: _____

Appendix E. Vendor Disclosure Statement



State of Alabama

Disclosure Statement

(Required by Act 2001-955)

ENTITY COMPLETING FORM

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

()

STATE AGENCY/DEPARTMENT THAT WILL RECEIVE GOODS, SERVICES, OR IS RESPONSIBLE FOR GRANT AWARD

ADDRESS

CITY, STATE, ZIP

TELEPHONE NUMBER

()

This form is provided with:

Contract

Proposal

Request for Proposal

Invitation to Bid

Grant Proposal

Have you or any of your partners, divisions, or any related business units previously performed work or provided goods to any State Agency/Department in the current or last fiscal year?

Yes

No

If yes, identify below the State Agency/Department that received the goods or services, the type(s) of goods or services previously provided, and the amount received for the provision of such goods or services.

| STATE AGENCY/DEPARTMENT | TYPE OF GOODS/SERVICES | AMOUNT RECEIVED |
|-------------------------|------------------------|-----------------|
|-------------------------|------------------------|-----------------|

Have you or any of your partners, divisions, or any related business units previously applied and received any grants from any State Agency/Department in the current or last fiscal year?

Yes

No

If yes, identify the State Agency/Department that awarded the grant, the date such grant was awarded, and the amount of the grant.

| STATE AGENCY/DEPARTMENT | DATE GRANT AWARDED | AMOUNT OF GRANT |
|-------------------------|--------------------|-----------------|
|-------------------------|--------------------|-----------------|

1. List below the name(s) and address(es) of all public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

| NAME OF PUBLIC OFFICIAL/EMPLOYEE | ADDRESS | STATE DEPARTMENT/AGENCY |
|----------------------------------|---------|-------------------------|
|----------------------------------|---------|-------------------------|

OVER

2. List below the name(s) and address(es) of all family members of public officials/public employees with whom you, members of your immediate family, or any of your employees have a family relationship and who may directly personally benefit financially from the proposed transaction. Identify the public officials/public employees and State Department/Agency for which the public officials/public employees work. (Attach additional sheets if necessary.)

| NAME OF FAMILY MEMBER | ADDRESS | NAME OF PUBLIC OFFICIAL/ PUBLIC EMPLOYEE | STATE DEPARTMENT/ AGENCY WHERE EMPLOYED |
|--------------------------|---------|---|--|
| | | | |
| | | | |
| | | | |

If you identified individuals in items one and/or two above, describe in detail below the direct financial benefit to be gained by the public officials, public employees, and/or their family members as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

Describe in detail below any indirect financial benefits to be gained by any public official, public employee, and/or family members of the public official or public employee as the result of the contract, proposal, request for proposal, invitation to bid, or grant proposal. (Attach additional sheets if necessary.)

List below the name(s) and address(es) of all paid consultants and/or lobbyists utilized to obtain the contract, proposal, request for proposal, invitation to bid, or grant proposal:

| NAME OF PAID CONSULTANT/LOBBYIST | ADDRESS |
|----------------------------------|---------|
| | |
| | |
| | |

By signing below, I certify under oath and penalty of perjury that all statements on or attached to this form are true and correct to the best of my knowledge. I further understand that a civil penalty of ten percent (10%) of the amount of the transaction, not to exceed \$10,000.00, is applied for knowingly providing incorrect or misleading information.

Signature

Date

Notary's Signature

Date

Date Notary Expires

Act 2001-955 requires the disclosure statement to be completed and filed with all proposals, bids, contracts, or grant proposals to the State of Alabama in excess of \$5,000.

Appendix F. Immigration Status

IMMIGRATION STATUS

I hereby attest that all workers on this project are either citizens of the United State or are in proper and legal immigration status that authorizes them to be employed for pay within the United States.

Signature of Contractor

Witness

Appendix G. Certificate of Compliance and E-verify MOU

State of _____)

County of _____)

CERTIFICATE OF COMPLIANCE WITH THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535, as amended by Act 2012-491)

DATE: _____

RE Contract/Grant/Incentive (describe by number or subject):

_____ by and between
_____ (Contractor/Grantee) and
_____ (State Agency, Department or Public Entity)

The undersigned hereby certifies to the State of Alabama as follows:

1. **The undersigned holds the position of** _____ **with the Contractor/Grantee named above,** and is authorized to provide representations set out in this Certificate as the official and binding act of that entity, and has knowledge of the provisions of THE BEASON-HAMMON ALABAMA TAXPAYER AND CITIZEN PROTECTION ACT (ACT 2011-535 of the Alabama Legislature, as amended by Act 2012-491) which is described herein as "the Act".
2. Using the following definitions from Section 3 of the Act, select and initial either (a) or (b), below, to describe the Contractor/Grantee's business structure.

BUSINESS ENTITY. Any person or group of persons employing one or more persons performing or engaging in any activity, enterprise, profession, or occupation for gain, benefit, advantage, or livelihood, whether for profit or not for profit. "Business entity" shall include, but not be limited to the following:

- a. Self-employed individuals, business entities filing articles of incorporation, partnerships, limited partnerships, limited liability companies, foreign corporations, foreign limited partnerships, foreign limited liability companies authorized to transact business in this state, business trusts, and any business entity that registers with the Secretary of State.
- b. Any business entity that possesses a business license, permit, certificate, approval, registration, charter, or similar form of authorization issued by the state, any business entity that is exempt by law from obtaining such a business license, and any business entity that is operating unlawfully without a business license.

EMPLOYER. Any person, firm, corporation, partnership, joint stock association, agent, manager, representative, foreman, or other person having control or custody of any employment, place of employment, or of any employee, including any person or entity employing any person for hire within the State of Alabama, including a public employer. This term shall not include the occupant of a household contracting with another person to perform casual domestic labor within the household.

_____(a)The Contractor/Grantee is a business entity or employer as those terms are defined in Section 3 of the Act.

_____(b)The Contractor/Grantee is not a business entity or employer as those terms are defined in Section 3 of the Act.

3. As of the date of this Certificate, Contractor/Grantee does not knowingly employ an unauthorized alien within the State of Alabama and hereafter it will not knowingly employ, hire for employment, or continue to employ an unauthorized alien within the State of Alabama;
4. Contractor/Grantee is enrolled in E-Verify unless it is not eligible to enroll because of the rules of that program or other factors beyond its control.

Certified this _____ day of _____ 20____.

Name of Contractor/Grantee/Recipient

By: _____

Its _____

The above Certification was signed in my presence by the person whose name appears above, on

this _____ day of _____ 20____.

WITNESS: _____

Printed Name of Witness

Appendix H. W-9

Request for Taxpayer Identification Number and Certification

Give form to the
Requester. Do not
send to the IRS.

| | | |
|---|---|--|
| Print or type See Specific Instructions on page 2: | Name (as reported on your income tax return) | |
| | Business name, if different from above | |
| | Check appropriate box: <input type="checkbox"/> Individual/ Sole proprietor <input type="checkbox"/> Corporation <input type="checkbox"/> Partnership <input type="checkbox"/> Other ▶ | <input type="checkbox"/> Exempt from backup withholding |
| | Address (number, street, and apt. or suite no.) | Requester's name and address (optional) |
| | City, state, and ZIP code | |
| List account number(s) here (optional) | | |

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on Line 1 to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

| | | | | | | | | |
|--------------------------------|--|--|--|--|--|--|--|--|
| Social security number | | | | | | | | |
| | | | | | | | | |
| or | | | | | | | | |
| Employer identification number | | | | | | | | |
| | | | | | | | | |

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. person (including a U.S. resident alien).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the Certification, but you must provide your correct TIN. (See the instructions on page 4.)

| | | |
|----------------------|--------------|------|
| Sign Here | Signature of | Date |
| | U.S. person | |

Purpose of Form

A person who is required to file an information return with the IRS, must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

U.S. person. Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),
2. Certify that you are not subject to backup withholding,
- or
3. Claim exemption from backup withholding if you are a U.S. exempt payee.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

For federal tax purposes you are considered a person if you are:

- an individual who is a citizen or resident of the United States,
- a partnership, corporation, company, or association created or organized in the United States or under the laws of the United States, or

- any estate (other than a foreign estate) or trust. See Regulation section 301.7701-6(a) for additional information.
- Foreign person.** If you are a foreign person, use the appropriate Form W-8 (see Publication 515, Withholding of Tax on Nonresident Aliens and Foreign Entities).

Nonresident alien who becomes a resident alien.

Generally, only a nonresident alien individual may use the terms of a tax treaty to reduce or eliminate U.S. tax on certain types of income. However, most tax treaties contain a provision known as a "saving clause." Exceptions specified in the saving clause may permit an exemption from tax to continue for certain types of income even after the recipient has otherwise become a U.S. resident alien for tax purposes.

If you are a U.S. resident alien who is relying on an exception contained in the saving clause of a tax treaty to claim an exemption from U.S. tax on certain types of income, you must attach a statement that specifies the following five items:

1. The treaty country. Generally, this must be the same treaty under which you claimed exemption from tax as a nonresident alien.
2. The treaty article addressing the income.
3. The article number (or location) in the tax treaty that contains the saving clause and its exceptions.

4. The type and amount of income that qualifies for the exemption from tax.

5. Sufficient facts to justify the exemption from tax under the terms of the treaty article.

Example. Article 20 of the U.S.-China income tax treaty allows an exemption from tax for scholarship income received by a Chinese student temporarily present in the United States. Under U.S. law, this student will become a resident alien for tax purposes if his or her stay in the United States exceeds 5 calendar years. However, paragraph 2 of the first Protocol to the U.S.-China treaty (dated April 30, 1984) allows the provisions of Article 20 to continue to apply even after the Chinese student becomes a resident alien of the United States. A Chinese student who qualifies for this exception (under paragraph 2 of the first protocol) and is relying on this exception to claim an exemption from tax on his or her scholarship or fellowship income would attach to Form W-9 a statement that includes the information described above to support that exemption.

If you are a nonresident alien or a foreign entity not subject to backup withholding, give the requester the appropriate completed Form W-8.

What is backup withholding? Persons making certain payments to you must under certain conditions withhold and pay to the IRS 28% of such payments (after December 31, 2002). This is called "backup withholding." Payments that may be subject to backup withholding include interest, dividends, broker and barter exchange transactions, rents, royalties, nonemployee pay, and certain payments from fishing boat operators. Real estate transactions are not subject to backup withholding.

You will not be subject to backup withholding on payments you receive if you give the requester your correct TIN, make the proper certifications, and report all your taxable interest and dividends on your tax return.

Payments you receive will be subject to backup withholding if:

1. You do not furnish your TIN to the requester, or
2. You do not certify your TIN when required (see the Part II instructions on page 4 for details), or
3. The IRS tells the requester that you furnished an incorrect TIN, or
4. The IRS tells you that you are subject to backup withholding because you did not report all your interest and dividends on your tax return (for reportable interest and dividends only), or
5. You do not certify to the requester that you are not subject to backup withholding under 4 above (for reportable interest and dividend accounts opened after 1983 only).

Certain payees and payments are exempt from backup withholding. See the instructions below and the separate Instructions for the Requester of Form W-9.

Penalties

Failure to furnish TIN. If you fail to furnish your correct TIN to a requester, you are subject to a penalty of \$50 for each such failure unless your failure is due to reasonable cause and not to willful neglect.

Civil penalty for false information with respect to withholding. If you make a false statement with no reasonable basis that results in no backup withholding, you are subject to a \$500 penalty.

Criminal penalty for falsifying information. Willfully falsifying certifications or affirmations may subject you to criminal penalties including fines and/or imprisonment.

Misuse of TINs. If the requester discloses or uses TINs in violation of Federal law, the requester may be subject to civil and criminal penalties.

Specific Instructions

Name

If you are an individual, you must generally enter the name shown on your social security card. However, if you have changed your last name, for instance, due to marriage without informing the Social Security Administration of the name change, enter your first name, the last name shown on your social security card, and your new last name.

If the account is in joint names, list first, and then circle, the name of the person or entity whose number you entered in Part I of the form.

Sole proprietor. Enter your individual name as shown on your social security card on the "Name" line. You may enter your business, trade, or "doing business as (DBA)" name on the "Business name" line.

Limited liability company (LLC). If you are a single-member LLC (including a foreign LLC with a domestic owner) that is disregarded as an entity separate from its owner under Treasury regulations section 301.7701-3, enter the owner's name on the "Name" line. Enter the LLC's name on the "Business name" line. Check the appropriate box for your filing status (sole proprietor, corporation, etc.), then check the box for "Other" and enter "LLC" in the space provided.

Other entities. Enter your business name as shown on required Federal tax documents on the "Name" line. This name should match the name shown on the charter or other legal document creating the entity. You may enter any business, trade, or DBA name on the "Business name" line.

Note. You are requested to check the appropriate box for your status (individual/sole proprietor, corporation, etc.).

Exempt From Backup Withholding

If you are exempt, enter your name as described above and check the appropriate box for your status, then check the "Exempt from backup withholding" box in the line following the business name, sign and date the form.

Generally, individuals (including sole proprietors) are not exempt from backup withholding. Corporations are exempt from backup withholding for certain payments, such as interest and dividends.

Note. If you are exempt from backup withholding, you should still complete this form to avoid possible erroneous backup withholding.

Exempt payees. Backup withholding is not required on any payments made to the following payees:

1. An organization exempt from tax under section 501(a), any IRA, or a custodial account under section 403(b)(7) if the account satisfies the requirements of section 401(f)(2),
2. The United States or any of its agencies or instrumentalities,
3. A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities,
4. A foreign government or any of its political subdivisions, agencies, or instrumentalities, or
5. An international organization or any of its agencies or instrumentalities.

Other payees that may be exempt from backup withholding include:

6. A corporation,

7. A foreign central bank of issue,
8. A dealer in securities or commodities required to register in the United States, the District of Columbia, or a possession of the United States,
9. A futures commission merchant registered with the Commodity Futures Trading Commission,
10. A real estate investment trust,
11. An entity registered at all times during the tax year under the Investment Company Act of 1940,
12. A common trust fund operated by a bank under section 584(a),
13. A financial institution,
14. A middleman known in the investment community as a nominee or custodian, or
15. A trust exempt from tax under section 664 or described in section 4947.

The chart below shows types of payments that may be exempt from backup withholding. The chart applies to the exempt recipients listed above, 1 through 15.

| IF the payment is for . . . | THEN the payment is exempt for . . . |
|--|--|
| Interest and dividend payments | All exempt recipients except for 9 |
| Broker transactions | Exempt recipients 1 through 13. Also, a person registered under the Investment Advisers Act of 1940 who regularly acts as a broker |
| Barter exchange transactions and patronage dividends | Exempt recipients 1 through 5 |
| Payments over \$600 required to be reported and direct sales over \$5,000 ¹ | Generally, exempt recipients 1 through 7 ² |

¹ See Form 1099-MISC, Miscellaneous Income, and its instructions.

² However, the following payments made to a corporation (including gross proceeds paid to an attorney under section 6045(f), even if the attorney is a corporation) and reportable on Form 1099-MISC are not exempt from backup withholding: medical and health care payments, attorneys' fees; and payments for services paid by a Federal executive agency.

Part I. Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. If you are a resident alien and you do not have and are not eligible to get an SSN, your TIN is your IRS individual taxpayer identification number (ITIN). Enter it in the social security number box. If you do not have an ITIN, see *How to get a TIN* below.

If you are a sole proprietor and you have an EIN, you may enter either your SSN or EIN. However, the IRS prefers that you use your SSN.

If you are a single-owner LLC that is disregarded as an entity separate from its owner (see *Limited liability company (LLC)* on page 2), enter your SSN (or EIN, if you have one). If the LLC is a corporation, partnership, etc., enter the entity's EIN.

Note. See the chart on page 4 for further clarification of name and TIN combinations.

How to get a TIN. If you do not have a TIN, apply for one immediately. To apply for an SSN, get Form SS-5, Application for a Social Security Card, from your local Social

Security Administration office or get this form on-line at www.socialsecurity.gov/online/ss-5.pdf. You may also get this form by calling 1-800-772-1213. Use Form W-7, Application for IRS Individual Taxpayer Identification Number, to apply for an ITIN, or Form SS-4, Application for Employer Identification Number, to apply for an EIN. You can apply for an EIN online by accessing the IRS website at www.irs.gov/businesses/ and clicking on Employer ID Numbers under Related Topics. You can get Forms W-7 and SS-4 from the IRS by visiting www.irs.gov or by calling 1-800-TAX-FORM (1-800-829-3676).

If you are asked to complete Form W-9 but do not have a TIN, write "Applied For" in the space for the TIN, sign and date the form, and give it to the requester. For interest and dividend payments, and certain payments made with respect to readily tradable instruments, generally you will have 60 days to get a TIN and give it to the requester before you are subject to backup withholding on payments. The 60-day rule does not apply to other types of payments. You will be subject to backup withholding on all such payments until you provide your TIN to the requester.

Note. Writing "Applied For" means that you have already applied for a TIN or that you intend to apply for one soon.

Caution: A disregarded domestic entity that has a foreign owner must use the appropriate Form W-8.

Part II. Certification

To establish to the withholding agent that you are a U.S. person, or resident alien, sign Form W-9. You may be requested to sign by the withholding agent even if items 1, 4, and 5 below indicate otherwise.

For a joint account, only the person whose TIN is shown in Part I should sign (when required). Exempt recipients, see *Exempt From Backup Withholding* on page 2.

Signature requirements. Complete the certification as indicated in 1 through 5 below.

1. Interest, dividend, and barter exchange accounts opened before 1984 and broker accounts considered active during 1983. You must give your correct TIN, but you do not have to sign the certification.

2. Interest, dividend, broker, and barter exchange accounts opened after 1983 and broker accounts considered inactive during 1983. You must sign the certification or backup withholding will apply. If you are subject to backup withholding and you are merely providing your correct TIN to the requester, you must cross out item 2 in the certification before signing the form.

3. Real estate transactions. You must sign the certification. You may cross out item 2 of the certification.

4. Other payments. You must give your correct TIN, but you do not have to sign the certification unless you have been notified that you have previously given an incorrect TIN. "Other payments" include payments made in the course of the requester's trade or business for rents, royalties, goods (other than bills for merchandise), medical and health care services (including payments to corporations), payments to a nonemployee for services, payments to certain fishing boat crew members and fishermen, and gross proceeds paid to attorneys (including payments to corporations).

5. Mortgage interest paid by you, acquisition or abandonment of secured property, cancellation of debt, qualified tuition program payments (under section 529), IRA, Coverdell ESA, Archer MSA or HSA contributions or distributions, and pension distributions. You must give your correct TIN, but you do not have to sign the certification.

What Name and Number To Give the Requester

| For this type of account: | Give name and SSN of: |
|---|---|
| 1. Individual | The individual |
| 2. Two or more individuals (joint account) | The actual owner of the account or, if combined funds, the first individual on the account ¹ |
| 3. Custodian account of a minor (Uniform Gift to Minors Act) | The minor ² |
| 4. a. The usual revocable savings trust (grantor is also trustee) | The grantor-trustee ¹ |
| b. So-called trust account that is not a legal or valid trust under state law | The actual owner ¹ |
| 5. Sole proprietorship or single-owner LLC | The owner ³ |
| For this type of account: | Give name and EIN of: |
| 6. Sole proprietorship or single-owner LLC | The owner ³ |
| 7. A valid trust, estate, or pension trust | Legal entity ⁴ |
| 8. Corporate or LLC electing corporate status on Form 8832 | The corporation |
| 9. Association, club, religious, charitable, educational, or other tax-exempt organization | The organization |
| 10. Partnership or multi-member LLC | The partnership |
| 11. A broker or registered nominee | The broker or nominee |
| 12. Account with the Department of Agriculture in the name of a public entity (such as a state or local government, school district, or prison) that receives agricultural program payments | The public entity |

¹List first and circle the name of the person whose number you furnish. If only one person on a joint account has an SSN, that person's number must be furnished.

²Circle the minor's name and furnish the minor's SSN.

³You must show your individual name and you may also enter your business or "DBA" name on the second name line. You may use either your SSN or EIN (if you have one). If you are a sole proprietor, IRS encourages you to use your SSN.

⁴List first and circle the name of the legal trust, estate, or pension trust. (Do not furnish the TIN of the personal representative or trustee unless the legal entity itself is not designated in the account title.)

Note. If no name is circled when more than one name is listed, the number will be considered to be that of the first name listed.

Privacy Act Notice

Section 6109 of the Internal Revenue Code requires you to provide your correct TIN to persons who must file information returns with the IRS to report interest, dividends, and certain other income paid to you, mortgage interest you paid, the acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA, or Archer MSA or HSA. The IRS uses the numbers for identification purposes and to help verify the accuracy of your tax return. The IRS may also provide this information to the Department of Justice for civil and criminal litigation, and to cities, states, and the District of Columbia to carry out their tax laws. We may also disclose this information to other countries under a tax treaty, or to Federal and state agencies to enforce Federal nontax criminal laws and to combat terrorism. The authority to disclose information to combat terrorism expired on December 31, 2003. Legislation is pending that would reinstate this authority.

You must provide your TIN whether or not you are required to file a tax return. Payers must generally withhold 28% of taxable interest, dividend, and certain other payments to a payee who does not give a TIN to a payer. Certain penalties may also apply.

Appendix I. Corporate Acknowledgement Statement and Certificate of Authority

CORPORATE ACKNOWLEDGEMENT AFFIDAVIT

STATE OF _____)

)

COUNTY OF _____)

BEFORE ME, the undersigned authority for said County and State, personally appeared _____, who is known to me, and after being duly sworn, deposed and said as follows:

My name is _____. I am the _____ **(title)** of _____ Corporation. I hereby attest that _____ is registered with the Alabama Secretary of State to do business in the State of Alabama. *Attached hereto is the Corporate Certificate of Authority to do business in the State of Alabama.*

Signed: _____

SWORN TO AND SUBSCRIBED before me this ____ day of _____ 2014.

NOTARY PUBLIC

Commission Expires: _____